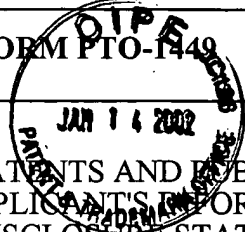


<b>FORM PTO-1449</b> 		Atty. Docket No.: 1151.1104101	Serial No.: 09/964,079
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Robert S. Kievall et al.	
		Filing Date:	
		September 26, 2001	

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JPO	AA 2001/0020177 A1	09/06/01	Gruzdowich et al.			01/22/2001
	DK RE 30,366	08/12/80	Rasor et al.			
	AB 3,645,267	02/29/72	Hagfors			
	AC 3,650,277	03/21/72	Sjostrand et al.			
	AD 4,014,318	03/29/77	Dockum et al.			
	AE 4,256,094	03/17/81	Kapp et al.			
	AF 4,331,157	05/25/82	Keller, Jr. et al.			
	AG 4,525,074	06/25/85	Murakami			
	AH 4,551,862	11/12/85	Haber			
	AI 4,586,501	05/06/86	Claracq			
	AJ 4,640,286	02/03/87	Thomson			
	AK 4,682,583	07/28/87	Burton et al.			
	AL 4,702,254	10/27/87	Zabara			
	AM 4,709,690	12/01/87	Habor			
	AN 4,739,762	04/26/88	Palmaz			
	AO 4,762,130	08/09/88	Fogarty et al.			
	AP 4,762,820	08/09/88	Gavrus			
	AQ 4,770,177	09/13/88	Schroeppel			
	AR 4,791,931	12/20/88	Slate			
	AS 4,800,882	01/31/89	Gianturco			
	AT 4,803,988	02/14/89	Thomson			
✓	AU 4,813,418	03/21/89	Harris			
JPO	AV 4,828,544	05/09/89	Lane et al.			
	AW 4,860,751	08/29/89	Callaghan			
	AX 4,867,164	09/19/89	Zabara			
✓	AY 4,881,939	11/21/89	Newman			

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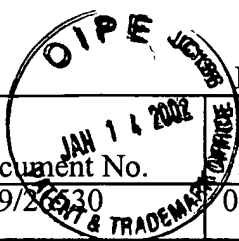
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JPO	AZ 4,886,062	12/24/89	Wiktor			
↓	BA 4,887,508	12/19/89	Mohl et al.			
↓	BB 4,917,092	04/17/90	Todd et al.			
↓	BC 4,969,458	11/13/90	Wiktor			
↓	BD 5,025,807	06/25/91	Zabara			
↓	BE 5,078,736	01/07/92	Behl			
↓	BF 5,113,869	05/19/92	Nappholz et al.			
JPO	BG 5,117,826	06/02/92	Bartelt et al.			
JPO	BH 5,170,802	12/15/92	Mehra			
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↓	BJ 5,199,428	04/06/93	Obel et al.			
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JPO	BS 5,458,626	10/17/95	Krause			
↓	BT 5,509,888	04/23/96	Miller			
↓	BU 5,522,854	06/04/96	Ideker et al.			
↓	BV 5,529,067	06/25/96	Larsen et al.			
↓	BW 5,531,779	06/04/96	Dahl et al.			
↓	BX 5,535,752	07/16/96	Halperin et al.			
↓	BY 5,540,734	07/30/96	Zabara			
↓	BZ 5,545,132	08/13/96	Fagan et al.			
JPO	CA 5,575,809	11/19/96	Sasaki			
↓	CB 5,578,061	11/26/96	Stroetmann et al.			
JPO	CC 5,634,878	06/03/97	Grundei et al.			
↓	CD 5,651,378	07/29/97	Matheny et al.			
↓	CE 5,690,681	11/25/97	Geddes et al.			
JPO	CF 5,692,882	12/02/97	Bozeman, Jr. et al.			
↓	CG 5,695,468	12/09/97	Lafontaine et al.			

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Examiner/ Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JPD	CH 5,700,282	12/23/97	Zabara			
	CI 5,707,400	01/03/98	Terry, Jr. et al.			
	CJ 5,715,837	02/10/98	Chen			
	CK 5,725,471	03/10/98	Davey et al.			
	CL 5,725,563	03/10/98	Klotz			
	CM 5,727,558	03/17/98	Hakki et al.			
	CN 5,741,316	04/21/98	Chen et al.			
	CO 5,800,464	09/01/98	Kieval			
	CP 5,807,258	09/15/98	Cimochowski et al.			
	CQ 5,814,079	09/29/98	Kieval			
	CR 5,824,021	10/20/98	Rise			
	CS 5,876,422	03/02/99	van Groeningen			
	CT 5,891,181	04/06/99	Zhu			
	CU 5,913,876	06/22/99	Taylor et al.			
	CV 5,916,239	06/29/99	Geddes et al.			
	CW 5,928,272	07/27/99	Adkins et al.			
	CX 5,967,986	10/19/99	Cimochowski et al.			
	CY 5,967,989	10/19/99	Cimochowski et al.			
	CZ 5,987,352	11/16/99	Klein et al.			
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	DB 6,023,642	02/08/00	Shealy et al.			
	DC 6,050,952	04/18/00	Hakki et al.			
	DD 6,052,623	04/18/00	Fenner et al.			
	DE 6,058,331	05/02/00	King			
	DF 6,061,596	05/09/00	Richmond et al.			
	DG 6,073,048	06/06/00	Kieval et al.			
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	DI 6,077,298	06/20/00	Tu et al.			
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	DL 6,231,516 B1	05/15/01	Keilman et al.			
V	DM 6,292,695 B1	09/18/01	Webster, Jr. et al.			

James P. Desjays 9/20/04



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		Document No.	Date	Country	Class	Sub-Class	Translation Yes/No
	DN	WO 99/26530	06/03/99	PCT			
JPO	DO	WO 99/42039	08/26/99	PCT			
JPO	DP	WO 99/42176	08/26/99	PCT			
JPO	DQ	WO 97/18856	05/29/97	PCT			

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

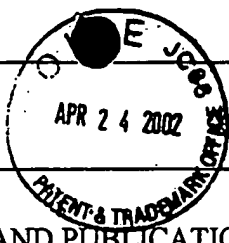
JPO	DR	U.S. Patent Application Serial No. 09/963,991, filed September 26, 2001, entitled "Mapping Methods for Cardiovascular Reflex Control Devices", to Robert S. Kieval et al.
↓	DS	U.S. Patent Application Serial No. 09/963,777, filed September 26, 2001 entitled "Electrode Designs and Methods of Use for Cardiovascular Reflex Control Devices" to Robert S. Kieval et al.
JPO	DT	"Cardiovascular Reflexes From Ventricular & Coronary Receptors", <u>Adv. Exp. Med. Biol.</u> , 1995, 381:157-74.
	DU	"Non-Invasive Heat-Delivery To Arterial Stented Segments In Vivo: Effect of Heat on Intimal Hyperplasia", <u>JACC</u> , 1041-89, February 2000.
	DV	"The Haemodynamic Basis of Anginal Relief Produced By Stimulation of the Carotid Sinus Nerve", <u>Acta Medica Academiae Scientiarum Hungaricae</u> , 30 (1-2), pp. 61-65, 1973.
	DW	Correspondence, <u>The New England Journal of Medicine</u> , Vol. 281, July 3, 1969, No. 2.
	DX	"Carotid Sinus Stimulation For the Treatment of Angina Pectoris", <u>Official Journal of the Calif. Medical Assoc.</u> , Vol. 112, No. 3, pps. 78-79, March 1970.
	DY	"Circulatory Effects of Carotid Sinus Stimulation & Changes in Blood Volume Distribution in Hypertensive Man", <u>Acta. Physiol. Scand.</u> , 1981, 111:299-306, March 1981.
	DZ	"Surgical Treatment of Hypertension with Reference to Baropacing", <u>The Amer. Jour. Of Cardiology</u> , Vol. 17, May 1966, pps. 663-667.
	EA	"Baropacing of the Carotid Sinus Nerve for Treatment of Intractable Hypertension", <u>Zeitschrift Für Kardiologie</u> , band 64, Heft 4, pps. 368-374, 1975.
	EB	"Laryngospasm Induced by a Carotid-Sinus-Nerve Stimulator", <u>The New England Journ. Of Med.</u> , No. 13, pps. 709-710, undated, admitted prior art.
	EC	"Fine Structure of Baroreceptor Terminals in the Carotid Sinus of Guinea Pigs & Mice", <u>Cell &amp; Tissue Research</u> , 170, pps. 95-112, 1976.
	ED	"Structure of Rat Aortic Baroreceptors & Their Relationship to Connective Tissue", <u>Journal of Neurocytology</u> , pps. 401-414, 1979.
	EE	"Baroreflex Anatomy", <u>Human Baroreflexes in Health &amp; Disease</u> , pps. 19-30, 1992.
	EF	"Implantation of a Carotid Sinus Nerve Stimulator", <u>AORN Journal</u> , pps. 53-56, December 1969.
	EG	"The Treatment of Heart Disease", <u>Heart Disease</u> , Earl N. Silber, 2 <sup>nd</sup> Edition, MacMillan Publishing Co., pg. 1642, 1987.
	EH	"Stimulation of the Carotid Baroreceptors Using a Radio-Frequency Method", <u>Israel J. Med. Sci.</u> , Vol. 1, No. 4, July 1965, pps. 630-632.
	EI	"Studies on the Carotid Body & the Carotid Sinus Effects on the Heart by Electrical Stimulation of the Carotid Sinus Wall", <u>Jap. Heart J.</u> , Vol. 13, No. 2, March 1972, pps. 136-149
↓	EJ	"Abstracts of the 40 <sup>th</sup> Scientific Sessions", Supplement II to <u>Circulation</u> , Vols. XXXV & XXXVI, October 1967, II-253, 1 sheet.
JPO	EK	Transvenous parasympathetic nerve stimulation in the inferior vena cava and atrioventricular conduction", <u>J. Cardiovasc. Electrophysiol.</u> , January 2000, 1 page.
↓	EL	"New Technique for Vagal Nerve Stimulation", <u>Journal of Neuroscience Methods</u> , 1999, pp. 109-114.
↓	EM	"Clinical Experience with a Helical Bipolar Stimulating Lead", <u>PACE</u> , Vol. 15, Part II, October 1992, pp. 1545-1556.

EXAMINER: *James P. Oropay*

DATE CONSIDERED: 9/20/06

MINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449		Atty. Docket No.: 1151.1104101	Serial No.: 09/964,079
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Robert Kieval et al.	
		Filing Date	Group Art:
		September 26, 2001	



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### U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JPO	AA	09/963,777	Perrson et al.			09/26/2001
	AB	09/963,991	Kieval et al.			09/26/2001
	AC	4,481,953	11/13/1984	Gold et al.		
	AD	4,531,943	07/30/1985	Van Tassel et al.		
	AE	4,641,664	02/10/1987	Botvidsson		
	AF	4,664,120	05/12/1987	Hess		
	AG	4,825,871	05/02/1989	Cansell		
	AH	4,830,003	05/16/1989	Wolff et al.		
	AI	4,960,133	10/02/1990	Hewson		
	AJ	5,224,491	07/1993	Mehra		
✓	AK	5,259,394	11/09/1993	Bens		

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	AL					
	AM					

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JPO	AN	Bilgutay, A.M., et al., "Baropacing, a New Concept in the Treatment of Hypertension", from Baroreceptors and Hypertension Proceedings of an International Symposium, November, 1965, Pg 425-437
	AO	
EXAMINER: J Oropesa		DATE CONSIDERED: 9/20/04

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet **3** of **3**

## Complete If Known

Application Number	09/964,079
Filing Date	September 26, 2001
First Named Inventor	ROBERT S. KIEVAL et al.
Art Unit	3762
Examiner Name	Unassigned
Attorney Docket Number	021433-000110US

## U.S. PATENT DOCUMENTS

		Document Number			
Examiner	Cite No. <sup>1</sup>	Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Examiner Signature	Frances P. Owey	Date Considered	9/20/04
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Page **1** of **2****Complete if Known**

Application Number	09/964,079
Filing Date	September 26, 2001
First Named Inventor	KIEVAL
Art Unit	3762
Examiner Name	Unassigned
Attorney Docket Number	021433-000110US

**U.S. PATENT DOCUMENTS**

Examiner	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
JRO	1	3,943,936	03-16-1976	RASOR et al.	
	2	5,215,089	06-03-1993	BAKER, Jr.	
	3	5,540,735	07-30-1996	WINGROVE	
	4	5,545,202	08-13-1996	DAHL et al.	
	5	5,707,400	01-13-1998	TERRY, Jr. et al.	
	6	5,766,236	06-16-1998	DETTY et al.	
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	8	6,438,428	08-20-2002	AXELGAARD et al.	
	9	6,564,101	05-31-2003	ZIKRIA	
	10	2002/0005982	01-17-2002	BORLINGHAUS	
	11	2002/0103516	08-01-2002	PATWARDHAN et al.	
	12	2002/0151051	10-17-2002	LI	
	13	2003/0040785	02-27-2003	MASCHINO et al.	

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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
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Page 2 of 2**Complete If Known**

Application Number	09/964,079
Filing Date	September 26, 2001
First Named Inventor	KIEVAL
Art Unit	3762
Examiner Name	Unassigned
Attorney Docket Number	021433-000110US

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
JFO	14	Brattstrom, A. and Warzel, H., Influence of Continuous and Intermittent (R-Wave Triggered) Electrical Stimulation of the Carotid Sinus Nerve on the Static Characteristic of the Circulatory Regulator, Experientia 28:414-416, 1972.	
	15	Peters et al., The Principle of Electrical Carotid Sinus Nerve Stimulation: A Nerve Pacemaker System for Angina Pectoris and Hypertension Therapy, Annals of Biomedical Engineering, 8:445-458, 1980.	
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	17	Richter, et al., The Course of Inhibition of Sympathetic Activity during Various Patterns of Carotid Sinus Nerve Stimulation, Pflugers Arch., 317:110-123, 1970.	
	18	Sedin, Gunnar, Responses of the Cardiovascular System to Carotid Sinus Nerve Stimulation, Upsala J Med Sci, 81:1-17, 1976.	
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Examiner Signature	<i>Frances P. Owyer</i>	Date Considered	9/20/04
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